

01-04-02

PTO/SB/05 MODIFIED BY AT&amp;T CORP.

## UTILITY

PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No.

2000-0534

Total Pages

First Named Inventor or Application Identifier

Arvind S Chakravarti et al.

Express Mail Label No.

EV007410504US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

1. ☒ Fee Transmittal Form  
(submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 10]  
(preferred arrangement set forth below)
- Descriptive title of invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 2]
4. Oath or Declaration [Total Pages 7]
- a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 17 below].
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
5. ☐ Application Data Sheet. See 37 CFR 1.76

6. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy (CRF)
  - b. ☐ Specification Sequence Listing on: ☐ CD-ROM or CD-R  
(2 copies); or ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
12. ☒ Preliminary Amendment 7 pages
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
16. ☒ Other: Nonpublication Req. under 35 U.S.C.  
122 (b) (2) (B) (i)

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior Application No:

Prior application information: Examiner:

Group/Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

Customer Number - 26652

or ☐ Correspondence address below

NAME	Samuel H. Dworetzky				
ADDRESS	AT&T CORP. P.O. Box 4110				
CITY	Middletown	STATE	New Jersey	ZIP CODE	07748-4110
COUNTRY	United States of America			FAX	732-368-6932

## 19. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

NAME	Robert B. Levy	Reg. #	28234	
TELEPHONE	908-221-5714			
SIGNATURE	[Signature]		DATE	11/07/01

"Express Mail" Mailing Label Number EV007410504US

Date of Deposit 11/07/01

I hereby certify that this Application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington D.C., 20231

Antoinette Dozier  
(Printed Name of Person Mailing Paper)

[Signature]  
(Signature of Person Mailing Paper)

**FEE TRANSMITTAL**

Patent Fees are subject to annual revision.

*Complete if Known*

Application Number

Filing Date

First Named Inventor

Arvind S Chakravarti et al.

Examiner Name

TOTAL AMOUNT  
OF PAYMENT

\$780

Group/Art Unit

Attorney Docket No.

2000-0534

**METHOD OF PAYMENT (check one)**

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 01-2745  
 Deposit Account Name AT&T CORP.

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing Date of the Notice of Allowance

**FEE CALCULATION****1. FILING FEE**

Large Fee Code	Entity Fee(\$)	Fee Description	Fee Paid
101	740	Utility(37CFR 1.53(b)) / CPA(37CFR 1.53(d)) Filing Fee	740
106	330	Design Filing Fee	
109	740	Reissue Filing Fee	
114	160	Provisional Filing Fee	

**SUBTOTAL (1)** 740**2. CLAIMS**

- ☐ Filing Under 37CFR 1.53 (b)  
☐ CPA Under 37CFR 1.53 (d)  
☐ Amendment

Extra Claims

Fee from below

Fee Paid

Total	14	- 20 =	0	X	18	=	0
Ind.	2	- 3 =	0	X	84	=	0
Multiple Dependent Claims						=	0

Large Fee Code	Entity Fee(\$)	Fee Description
103	18	Claims in excess of 20
102	84	Independent Claims in excess of 3
104	280	Multiple Dependent Claims
109	84	** Reissue independent claims over original patent
110	18	** Reissue claims in excess of 20 and over original patent

\*\* or number previously paid, if greater; for Reissues, see above

**SUBTOTAL (2)** 0**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee(\$)	Fee Description	Fee Paid
105	130	Surcharge - late filing fee or oath	
127	50	Surcharge - late provisional filing fee or cover sheet	
139	130	Non-English specification	
147	2520	For filing a request for reexamination	
112*	920	Requesting publication of SIR prior to Examiner action	
113*	1840	Requesting publication of SIR after Examiner action	
115	110	Extension for reply within first month	
116	400	Extension for reply within second month	
117	920	Extension for reply within third month	
118	1440	Extension for reply within fourth month	
128	1960	Extension for reply within fifth month	
119	320	Notice of Appeal	
120	320	Filing a brief in support of an appeal	
121	280	Request for oral hearing	
195	300	Publication fee	
140	110	Petition to revive - unavoidable	
141	1280	Petition to revive - unintentional	
142	1280	Utility issue fee (or reissue)	
143	460	Design issue fee	
122	130	Petitions to the Commissioner	
123	50	Petitions related to provisional applications	
126	180	Submission of Information Disclosure Statement	
581	40	Recording each patent assignment per property (times number of properties)	40
146	740	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	Request for Continued Examination (RCE)	
169	900	Request for expedited exam of a design application	

Other fee (specify):

**SUBTOTAL (3)** 40**SUBMITTED BY**

Typed or Printed Name Robert B. Levy

Complete (if applicable)

Reg. Number 28234

Signature

Date

11/7/01

Deposit Account User ID

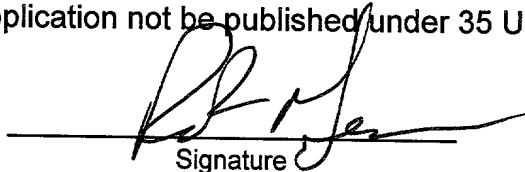
<b>NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	Arvind S Chakravarti
	Title	<i>Proactive Predictive Preventative Network Management Technique</i>
	Atty. Docket Number	2000-0534

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U. S. C. 122(b).

11/07/2001

Date

  
Signature

Robert B. Levy

Typed or Printed Name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U. S. C. 122(b)(2)(B)(iii)).**